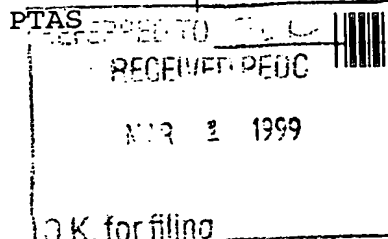




UNITED STATES DEPARTMENT OF COMMERCE
Patent and Trademark Office
ASSISTANT SECRETARY AND COMMISSIONER
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Washington, D.C. 20231

FEBRUARY 17, 1999

PENNIE & EDMONDS LLP
LAURA A. CORUZZI
1155 AVENUE OF THE AMERICAS
NEW YORK, NY 10036



196-054

UNITED STATES PATENT AND TRADEMARK OFFICE
NOTICE OF RECORDATION OF ASSIGNMENT DOCUMENT

THE ENCLOSED DOCUMENT HAS BEEN RECORDED BY THE ASSIGNMENT DIVISION OF THE U.S. PATENT AND TRADEMARK OFFICE. A COMPLETE MICROFILM COPY IS AVAILABLE AT THE ASSIGNMENT SEARCH ROOM ON THE REEL AND FRAME NUMBER REFERENCED BELOW.

PLEASE REVIEW ALL INFORMATION CONTAINED ON THIS NOTICE. THE INFORMATION CONTAINED ON THIS RECORDATION NOTICE REFLECTS THE DATA PRESENT IN THE PATENT AND TRADEMARK ASSIGNMENT SYSTEM. IF YOU SHOULD FIND ANY ERRORS OR HAVE QUESTIONS CONCERNING THIS NOTICE, YOU MAY CONTACT THE EMPLOYEE WHOSE NAME APPEARS ON THIS NOTICE AT 703-308-9723. PLEASE SEND REQUEST FOR CORRECTION TO: U.S. PATENT AND TRADEMARK OFFICE, ASSIGNMENT DIVISION, BOX ASSIGNMENTS, CG-4, 1213 JEFFERSON DAVIS HWY, SUITE 320, WASHINGTON, D.C. 20231.

RECORDATION DATE: 10/22/1998

REEL/FRAME: 9537/0641
NUMBER OF PAGES: 2

BRIEF: ASSIGNMENT OF ASSIGNOR'S INTEREST (SEE DOCUMENT FOR DETAILS).

ASSIGNOR:
MOUNT SINAI MEDICAL CENTER, THE

DOC DATE: 10/21/1998

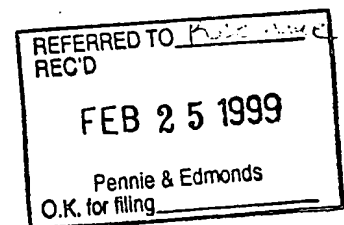
ASSIGNEE:
MOUNT SINAI SCHOOL OF MEDICINE OF
THE CITY UNIVERSITY OF NEW YORK,
THE
ONE GUSTAVE LEVY PLACE
NEW YORK, NEW YORK 10029-6574

SERIAL NUMBER: 08444994
PATENT NUMBER:

FILING DATE: 05/19/1995
ISSUE DATE:

ANTIONE ROYALL, EXAMINER
ASSIGNMENT DIVISION
OFFICE OF PUBLIC RECORDS

RECORDED
JLK-DC
TO M...
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10-22-98

RECORDATION FORM COVER SHEET
PATENTS ONLYAttorney Docket Number
6923-054

TO THE HONORAI

10-30-1998

TRADEMARKS



Please rec:

100865029

ref.

1. Name of conveying party(ies):

THE MOUNT SINAI MEDICAL CENTER

Additional name(s) of conveying party(ies) attached? ☐ Yes ☒ No

3. Nature of conveyance:

- ☒ Assignment ☐ Merger
- ☐ Security Agreement ☐ Change of Name
- ☐ Other _____

Execution Date: October 21, 1998

2. Name and address of receiving party(ies):

Name: The Mount Sinai School Of Medicine Of The City
University Of New YorkAddress: One Gustave Levy Place
New York, New York 10029-6574

Country (if other than USA): _____

4. Application number(s) or patent number(s):

If this document is filed together with a new application, the execution date of the application is: _____

A. Patent Application No.(s) 08/444,994

B. Patent No.(s) _____

Additional numbers attached? ☐ Yes ☒ No

5. Name and address of party to whom correspondence concerning document should be mailed:

PENNIE & EDMONDS LLP
1155 Avenue of the Americas
New York, NY 100366. Number of applications and patents involved: one (1)7. Total fee (37 CFR 3.41):\$ 40.00
Please charge to the deposit account listed in Section 8.8. Deposit account number: 16-1150

DO NOT USE THIS SPACE

9. Statement and signature.

To the best of my knowledge and belief, the foregoing information is true and correct and any attached copy is a true copy of the original document.

Laura A. Coruzzi 30,742
Name of Person Signing Reg. No.

Signature

October 22, 1998

Date

Total number of pages including cover sheet: 2

Mail documents to be recorded with required cover sheet information to:
Commissioner of Patents & Trademarks, Box Assignment
Washington, D.C. 20231

10/29/1998 SBURNS 00000141 161150 08444994

01 FC:581 40.00 CH

ASSIGNMENT

WHEREAS, THE MOUNT SINAI MEDICAL CENTER, ASSIGNOR, an institution having an office for the transaction of business at One Gustave Levy Place, New York, New York 10029-6574, owner of the entire right, title and interest in, to and under the below-identified invention entitled "IDENTIFICATION AND USE OF ANTIVIRAL COMPOUNDS THAT INHIBIT INTERACTION OF HOST CELL PROTEINS AND VIRAL PROTEINS REQUIRED FOR VIRAL REPLICATION" by Peter Palese and Robert O'Neill by virtue of an assignment recorded on August 18, 1995, at Reel 7626, Frame 0359, for the application for Patent of the United States

- ☒ which is identified by Pennie & Edmonds LLP docket no. 6923-054
- ☒ which was filed on May 19, 1995, Serial No. 08/444,994

and WHEREAS, THE MOUNT SINAI SCHOOL OF MEDICINE OF THE CITY UNIVERSITY OF NEW YORK, ASSIGNEE, an institution organized and existing under the laws of the State of New York and having an office for the transaction of business at One Gustave Levy Place, New York, New York 10029-6574 is desirous of obtaining the entire right, title and interest in, to and under the said invention and the said patent:

NOW, THEREFORE, in consideration of the sum of One Dollar (\$1.00) to me in hand paid, and other good and valuable consideration, the receipt of which is hereby acknowledged, I, the said ASSIGNOR, have sold, assigned, transferred and set over, and by these presents do hereby sell, assign, transfer and set over, unto the said ASSIGNEE, its successors, legal representatives and assigns, the entire right, title and interest in, to and under the said invention, and the said United States application and all divisions, renewals and continuations thereof, and all Patents of the United States which may be granted thereon and all reissues and extensions thereof; and all applications for industrial property protection, including, without limitation, all applications for patents, utility models, and designs which may hereafter be filed for said invention in any country or countries foreign to the United States, together with the right to file such applications and the right to claim for the same the priority rights derived from said United States application under the Patent Laws of the United States, the International Convention for the Protection of Industrial Property, or any other international agreement or the domestic laws of the country in which any such application is filed, as may be applicable; and all forms of industrial property protection, including, without limitation, patents, utility models, inventors' certificates and designs which may be granted for said invention in any country or countries foreign to the United States and all extensions, renewals and reissues thereof;

AND I HEREBY authorize and request the Commissioner of Patents and Trademarks of the United States, and any Official of any country or countries foreign to the United States, whose duty it is to issue patents or other evidence or forms of industrial property protection on applications as aforesaid, to issue the same to the said ASSIGNEE, its successors, legal representatives and assigns, in accordance with the terms of this instrument.

AND I HEREBY covenant and agree that I have full right to convey the entire interest herein assigned, and that I have not executed, and will not execute, any agreement in conflict herewith.

AND I HEREBY further covenant and agree that I will communicate to the said ASSIGNEE, its successors, legal representatives and assigns, any facts known to me respecting said invention, and testify in any legal proceeding, sign all lawful papers, execute all divisional, continuing, reissue and foreign applications, make all rightful oaths, and generally do everything possible to aid the said ASSIGNEE, its successors, legal representatives and assigns, to obtain and enforce proper protection for said invention in all countries.

IN TESTIMONY WHEREOF, I hereunto set my hand and seal this 21 day of October, 1998.

Beth Essig L.S.
BY: BETH ESSIG
TITLE: VICE PRESIDENT AND ASSOCIATE GENERAL
COUNSEL

State of New York)
) SS.:
County of New York)

On this 21 day of October, 1998, before me, a Notary Public in and for the State and County aforesaid, personally appeared Beth Essig, to me known and known to me to be the person of that name, who signed and sealed the foregoing instrument, and she acknowledged the same to be her free act and deed.

NANCY A. HUIK
Notary Public, State of New York
No. 01HU4871877
Qualified in New York County
Commission Expires Sept. 20, 2000

Nancy A. Huik
Notary Public.

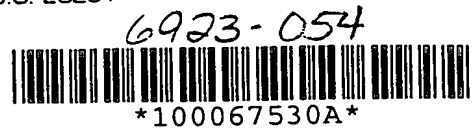
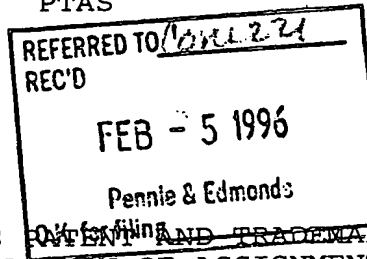


UNITED STATES DEPARTMENT OF COMMERCE
Patent and Trademark Office
ASSISTANT SECRETARY AND COMMISSIONER
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JANUARY 26, 1996

LAURA A. CORUZZI
PENNIE & EDMONDS
1155 AVENUE OF THE AMERICAS
NEW YORK, NY 10036

PTAS



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PLEASE REVIEW ALL INFORMATION CONTAINED ON THIS NOTICE. THE INFORMATION CONTAINED ON THIS RECORDATION NOTICE REFLECTS THE DATA PRESENT IN THE PATENT AND TRADEMARK ASSIGNMENT SYSTEM. IF YOU SHOULD FIND ANY ERRORS OR HAVE QUESTIONS CONCERNING THIS NOTICE, YOU MAY CONTACT THE EMPLOYEE WHOSE NAME APPEARS ON THIS NOTICE AT 703-308-9723. PLEASE SEND REQUEST FOR CORRECTION TO: U.S. PATENT AND TRADEMARK OFFICE, ASSIGNMENT DIVISION, BOX ASSIGNMENTS, NORTH TOWER BUILDING, SUITE 10C35, WASHINGTON, D.C. 20231.

RECORDATION DATE: 08/18/1995

REEL/FRAME: 7626/0359
NUMBER OF PAGES: 2

BRIEF: ASSIGNMENT OF ASSIGNOR'S INTEREST (SEE DOCUMENT FOR DETAILS).

ASSIGNOR:
PALESE, PETER

DOC DATE: 07/17/1995

ASSIGNOR:
O'NEILL, ROBERT

DOC DATE: 07/17/1995

ASSIGNEE:
MOUNT SINAI MEDICAL CENTER, THE
ONE GUSTAVE LEVY PLACE
NEW YORK, NEW YORK 10029

SERIAL NUMBER: 08444994
PATENT NUMBER:

FILING DATE: 05/19/1995
ISSUE DATE:

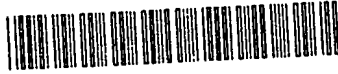
PEARLENE FOSTER, EXAMINER
ASSIGNMENT DIVISION
OFFICE OF PUBLIC RECORDS



HRD

8-18-95

09-27-1995



100067530

Attorney Docket Number

6923-054

TO THE HONORABLE COMMISSIONER OF PATENTS AND TRADEMARKS
Box Assignments
Washington, DC 20231

Please record the attached original documents or copy thereof.

1. Name of conveying party(ies):

Peter Palese and Robert O'Neill

Additional name(s) of conveying party(ies) attached? ☐ Yes ☒ No

3. Nature of conveyance:

☒ Assignment☐ Merger☐ Security Agreement☐ Change of Name☐ Other

Execution Date: July 17, 1995

2. Name and address of receiving party(ies):

Name: The Mount Sinai Medical Center

Address: One Gustave Levy Place

New York, NY 10029

Country (if other than USA):

4. Application number(s) or patent number(s):

If this document is being filed together with a new application, the execution date of the application is:

A. Patent Application No.(s) 08/444,994

B. Patent No.(s)

Additional numbers attached? ☐ Yes ☒ No

5. Name and address of party to whom correspondence concerning document should be mailed:

PENNIE & EDMONDS
1155 Avenue of the Americas
New York, NY 10036

6. Number of applications and patents involved: one (1)

7. Total fee (37 CFR 3.41): \$ 40.00
Please charge to the deposit account listed in Section 8.8. Deposit account number:
16-1150
(A copy of this page is attached)

DO NOT USE THIS SPACE

9. Statement and signature.

To the best of my knowledge and belief, the foregoing information is true and correct and any attached copy is a true copy of the original document.

Laura A. Coruzzi 30,742
Name of Person Signing Reg. No.

Signature

Date

Total number of pages including cover sheet:

2

Mail documents to be recorded with required cover sheet information to:
Commissioner of Patents & Trademarks, Box Assignments
Washington, D.C. 20231

RJ12360 09/12/95 08444994

16-1150 120 581

40.00CH

ASSIGNMENT

WHEREAS, WE, Peter Palese, citizen of United States, residing at 414 Highwood Avenue, Leonia, New Jersey; and Robert O'Neill, citizen of the United States, residing at 621 West 169th Street, Apt. 2E, New York, New York, ASSIGNORS are the inventors of the invention in IDENTIFICATION AND USE OF ANTIVIRAL COMPOUNDS THAT INHIBIT INTERACTION OF HOST CELL PROTEINS AND VIRAL PROTEINS REQUIRED FOR VIRAL REPLICATION for which we have executed an application for a Patent of the United States

☐ which is executed on ☐ even date herewith or ☐ _____ (date)

☐ which is identified by Pennie & Edmonds docket no. 6923-054
☒ which was filed on May 19, 1995, Serial No. 08/444,994

and WHEREAS, THE MOUNT SINAI MEDICAL CENTER, ASSIGNEE is desirous of obtaining the entire right, title and interest in, to and under the said invention and the said application:

NOW, THEREFORE, in consideration of the sum of One Dollar (\$1.00) to us in hand paid, and other good and valuable consideration, the receipt of which is hereby acknowledged, we, the said ASSIGNORS, have sold, assigned, transferred and set over, and by these presents do hereby sell, assign, transfer and set over, unto the said ASSIGNEE, its successors, legal representatives and assigns, the entire right, title and interest in, to and under the said invention, and the said United States application and all divisions, renewals and continuations thereof, and all Patents of the United States which may be granted thereon and all reissues and extensions thereof; and all applications for industrial property protection, including, without limitation, all applications for patents, utility models, and designs which may hereafter be filed for said invention in any country or countries foreign to the United States, together with the right to file such applications and the right to claim for the same the priority rights derived from said United States application under the Patent Laws of the United States, the International Convention for the Protection of Industrial Property, or any other international agreement or the domestic laws of the country in which any such application is filed, as may be applicable; and all forms of industrial property protection, including, without limitation, patents, utility models, inventors' certificates and designs which may be granted for said invention in any country or countries foreign to the United States and all extensions, renewals and reissues thereof;

AND WE HEREBY authorize and request the Commissioner of Patents and Trademarks of the United States, and any Official of any country or countries foreign to the United States, whose duty it is to issue patents or other evidence or forms of industrial property protection on applications as aforesaid, to issue the same to the said ASSIGNEE, its successors, legal representatives and assigns, in accordance with the terms of this instrument.

AND WE HEREBY covenant and agree that we have full right to convey the entire interest herein assigned, and that we have not executed, and will not execute, any agreement in conflict herewith.

AND WE HEREBY further covenant and agree that we will communicate to the said ASSIGNEE, its successors, legal representatives and assigns, any facts known to us respecting said invention, and testify in any legal proceeding, sign all lawful papers, execute all divisional, continuing, reissue and foreign applications, make all rightful oaths, and generally do everything possible to aid the said ASSIGNEE, its successors, legal representatives and assigns, to obtain and enforce proper protection for said invention in all countries.

IN TESTIMONY WHEREOF, We hereunto set our hands and seals the day and year set opposite our respective signatures.

Date 7/17/95, 1995

Date 7/17/95, 1995

State of New York SS.:

County of New York

On this 17 day of July, 1995, before me, a Notary Public in and for the State and County aforesaid, personally appeared Peter Palese to me known and known to me to be the person of that name, who signed and sealed the foregoing instrument, and he acknowledged the same to be his free act and deed.

State of New York SS.:

County of New York

On this 17 day of July, 1995, before me, a Notary Public in and for the State and County aforesaid, personally appeared Robert O'Neill to me known and known to me to be the person of that name, who signed and sealed the foregoing instrument, and he acknowledged the same to be his free act and deed.

LOUIS PASALLO
 Notary Public, State of New York
 No. 000000
 Commission Expires October 31, 1996

Notary Public.

**SUPPLEMENTAL
DECLARATION
AND POWER OF ATTORNEY**

As a below named inventor, I hereby declare that:

My residence, post office address and citizenship are as stated below at 201 et seq. underneath my name.

I believe I am the original, first and sole inventor if only one name is listed at 201 below, or an original, first and joint inventor if plural names are listed at 201 et seq. below, of the subject matter which is claimed and for which a patent is sought on the invention entitled

**"IDENTIFICATION AND USE OF ANTIVIRAL COMPOUNDS THAT INHIBIT INTERACTION
OF HOST CELL PROTEINS AND VIRAL PROTEINS REQUIRED FOR VIRAL REPLICATION"**

the specification of which is attached hereto and includes amendments filed of even date herewith unless one of the following boxes is checked:

☒ the specification was filed in the United States on May 19, 1995 as Application Serial No. 08/444,994 (for declaration not accompanying application) with amendment(s) filed on _____ (if applicable)

☐ the specification was filed as PCT international application Serial No. _____ on _____ and was amended under PCT Article 19 on _____ (if applicable)

I hereby state that I have reviewed and understand the contents of the above identified specification, including the claims, as amended by any amendment referred to above.

I acknowledge the duty to disclose information known to me to be material to patentability as defined in Title 37, Code of Federal Regulations, §1.56.

I hereby claim foreign priority benefits under Title 35, United States Code, §119(a)-(d) of any foreign application(s) for patent or inventor's certificate listed below and have also identified below any foreign application for patent or inventor's certificate having a filing date before that of the application on which priority is claimed:

| EARLIEST FOREIGN APPLICATION(S), IF ANY, FILED PRIOR TO THE FILING DATE OF THE APPLICATION | | | |
|--|---------|--------------------------------------|--|
| APPLICATION NUMBER | COUNTRY | DATE OF FILING (day, month, year) | PRIORITY CLAIMED |
| | | | YES <input type="checkbox"/> NO <input type="checkbox"/> |
| | | | YES <input type="checkbox"/> NO <input type="checkbox"/> |

I hereby claim the benefit under Title 35, United States Code, §119(e) of any United States provisional application(s) listed below.

| APPLICATION NUMBER | FILING DATE |
|--------------------|-------------|
| | |
| | |

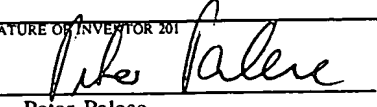
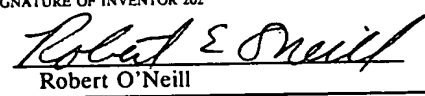
I hereby claim the benefit under Title 35, United States Code, §120 of any United States application(s) listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States application in the manner provided by the first paragraph of Title 35, United States Code §112, I acknowledge the duty to disclose information which is material to patentability as defined in Title 37, Code of Federal Regulations, §1.56 which became available between the filing date of the prior application and the national or PCT international filing date of this application:

| APPLICATION SERIAL NO. | FILING DATE | STATUS | | |
|------------------------|-------------|----------|---------|-----------|
| | | PATENTED | PENDING | ABANDONED |
| 08/246,583 | | | x | |
| | | | | |

POWER OF ATTORNEY: As a named inventor, I hereby appoint S. Leslie Misrock (Reg. No. 18872), Harry C. Jones, III (Reg. No. 20280), Berj A. Terzian (Reg. No. 20060), Gerald J. Flintoft (Reg. No. 20823), David Weild, III (Reg. No. 21094), Jonathan A. Marshall (Reg. No. 24614), Barry D. Rein (Reg. No. 22411), Stanton T. Lawrence, III (Reg. No. 25736), Isaac Jarkovsky (Reg. No. 22713), Joseph V. Colaianni (Reg. No. 20019), Charles E. McKenney (Reg. No. 22795), Philip T. Shannon (Reg. No. 24278), Francis E. Morris (Reg. No. 24615), Charles E. Miller (Reg. No. 24576), Gidon D. Stern (Reg. No. 27469), John J. Lauter, Jr. (Reg. No. 27814), Brian M. Poissant (Reg. No. 28462), Brian D. Coggio (Reg. No. 27624), Rory J. Radding (Reg. No. 28749), Stephen J. Harbulak (Reg. No. 29166), Donald J. Goodell (Reg. No. 19766), James N. Palik (Reg. No. 25510), Thomas E. Friebe (Reg. No. 29258), Laura A. Coruzzi (Reg. No. 30742), Jennifer Gordon (Reg. No. 30753), Jon R. Stark (Reg. No. 30111), Allan A. Fanucci (Reg. No. 30256), Geraldine F. Baldwin (Reg. No. 31232), Victor N. Balancia (Reg. No. 31231), Albert P. Halluin (Reg. No. 25227), and Marcia H. Sundeen (Reg. No. 30893), whose address is Pennie & Edmonds, 1155 Avenue of the Americas, New York, New York 10036, and each of them, my attorneys, to prosecute this application, and to transact all business in the Patent and Trademark Office connected therewith.

| | | | | | |
|-------------------------|-------------------------|--|--|--|-------------------|
| SEND CORRESPONDENCE TO: | | PENNIE & EDMONDS 1155 AVENUE OF THE AMERICAS NEW YORK, N.Y. 10036-2711 | | DIRECT TELEPHONE CALLS TO: PENNIE & EDMONDS DOCKETING (212) 790-2803 | |
| 201 | FULL NAME OF INVENTOR | LAST NAME PALESE | FIRST NAME PETER | MIDDLE NAME | |
| | RESIDENCE & CITIZENSHIP | CITY Leonia | STATE OR FOREIGN COUNTRY New Jersey | COUNTRY OF CITIZENSHIP U.S.A. | |
| | POST OFFICE ADDRESS | STREET 414 Highwood Avenue | CITY Leonia | STATE OR COUNTRY New Jersey | ZIP CODE 07605 |
| 202 | FULL NAME OF INVENTOR | LAST NAME O'NEILL | FIRST NAME ROBERT | MIDDLE NAME | |
| | RESIDENCE & CITIZENSHIP | CITY New York | STATE OR FOREIGN COUNTRY New York | COUNTRY OF CITIZENSHIP U.S.A. | |
| | POST OFFICE ADDRESS | STREET 621 West 169th Street, #2E | CITY New York | STATE OR COUNTRY New York | ZIP CODE 10032 |
| 203 | FULL NAME OF INVENTOR | LAST NAME | FIRST NAME | MIDDLE NAME | |
| | RESIDENCE & CITIZENSHIP | CITY | STATE OR FOREIGN COUNTRY | COUNTRY OF CITIZENSHIP | |
| | POST OFFICE ADDRESS | STREET | CITY | STATE OR COUNTRY | ZIP CODE |
| 204 | FULL NAME OF INVENTOR | LAST NAME | FIRST NAME | MIDDLE NAME | |
| | RESIDENCE & CITIZENSHIP | CITY | STATE OR FOREIGN COUNTRY | COUNTRY OF CITIZENSHIP | |
| | POST OFFICE ADDRESS | STREET | CITY | STATE OR COUNTRY | ZIP CODE |
| 205 | FULL NAME OF INVENTOR | LAST NAME | FIRST NAME | MIDDLE NAME | |
| | RESIDENCE & CITIZENSHIP | CITY | STATE OR FOREIGN COUNTRY | COUNTRY OF CITIZENSHIP | |
| | POST OFFICE ADDRESS | STREET | CITY | STATE OR COUNTRY | ZIP CODE |
| 206 | FULL NAME OF INVENTOR | LAST NAME | FIRST NAME | MIDDLE NAME | |
| | RESIDENCE & CITIZENSHIP | CITY | STATE OR FOREIGN COUNTRY | COUNTRY OF CITIZENSHIP | |
| | POST OFFICE ADDRESS | STREET | CITY | STATE OR COUNTRY | ZIP CODE |

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issuing thereon.

| | | |
|--|---|--------------------------------|
| SIGNATURE OF INVENTOR 201  Peter Palese | SIGNATURE OF INVENTOR 202  Robert O'Neill | SIGNATURE OF INVENTOR 203 - |
| DATE 7/26, 1995 | DATE 8/14, 1995 | DATE |
| SIGNATURE OF INVENTOR 204 | SIGNATURE OF INVENTOR 205 | SIGNATURE OF INVENTOR 206 |
| DATE | DATE | DATE |